

**Notice of Allowability**

Application No.

09/535,877

Applicant(s)

BOYLE ET AL.

Examiner

SIEGFRIED E. CHENCINSKI

Art Unit

3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 3/24/08.
2. ☒ The allowed claim(s) is/are 1-4,8,10-15,17-21,23,26,30-35,39,41-43,46 and 49-51.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All   b) ☐ Some\*   c) ☐ None   of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |   |
|--|---|
| 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 5. <input type="checkbox"/> Notice of Informal Patent Application                     |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____ |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____    | 7. <input type="checkbox"/> Examiner's Amendment/Comment                              |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance  |
|  | 9. <input type="checkbox"/> Other _____   |

### DETAILED ACTION

1. This office action is in response to a Decision By the Patent Board of Appeals and Interferences decided on March 24,2008.

#### ***Allowable Subject Matter***

2. Claims 1-4, 8, 10-15, 17-21, 23, 26, 30-35, 39, 41-43, 46 and 49-51 are allowed.

3. The following is a the examiner's statement of reasons for the indication of allowable subject matter as stated by the Board of Patent Appeals and Interferences' decision: The claims are allowable because:

Re. claim 1, Hawkins is the closest prior art to Applicant's invention found by the examiner. Hawkins et al. (US Patent 6,247,000 B1, hereafter Hawkins) discloses a method for reconciliation of fund manager and custodian account records, comprising: receiving a first account record by a database electronically from one of an internal portfolio tracking system of a fund manager and a custody network of a custodian and receiving a second account record by the database from the other of the internal portfolio tracking system of the fund manager and the custody network,of the custodian; automatically comparing the account records by a computer application according to the predefined matching rules for at least one item of account data selected from a group of account data items consisting of account number, security identification units, unit cost, total cost, unit price, and total market value to identify one of matched and unmatched first and second account records; and if unmatched account records are identified in the comparison, generating a report of the comparison by the computer application identifying the unmatched account records accessible for display by the fund manager and the custodian, allowing a manual match of the unmatched account records on the database by either one of the fund manager and the custodian, and storing an historical record of the manual match by the computer application accessible by either one of the other of the fund manager and the custodian.

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Hawkins does not disclose or suggest: allowing the fund manager and the custodian to predefine matching rules for the respective account records independently of one another.

Re. claim 35, Hawkins is the closest prior art to Applicant's invention found by the examiner. Hawkins discloses a system for reconciliation of fund manager and custodian account records, comprising: a computer database adapted for receiving a first account record electronically from one of an internal portfolio tracking system of a fund manager and a custody network of a custodian and for receiving a second account record from the other of the internal portfolio tracking system of the fund manager and the custody network of the custodian; a computer application preprogrammed for automatically comparing the received account records according to matching rules for at least one item of account data selected from a group of account data items consisting of account number, security identification, units, unit cost, total cost, unit price, and total market value to identify one of matched and unmatched first and second account records; and wherein if unmatched account records are identified in the comparison, the computer application is further preprogrammed for generating a report of the comparison identifying the unmatched account records accessible for display by the fund manager and the custodian, for allowing a manual match of the unmatched account records on the database by either one of the fund manager and the custodian, and for storing an historical record of the manual match accessible by either one of the other of the fund manager and the custodian.

Hawkins does not disclose or suggest: allowing the fund manager and the custodian to predefine matching rules for the respective account records independently of one another. For these reasons claims 1 and 35 are deemed allowable over the prior art and claims 2-4, 8, 10, 11-15, 17-21, 23, 26, and 30-34 and claims 39, 41-43, 46, and 49-51 are allowable by way of dependency on allowed independent claims 1 and 35 respectively.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably

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accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

### ***Conclusion***

3. The prior art made of record and not relied upon is considered pertinent to Applicant's disclosure.

(a) Anonymous, Euromoney, v1996, p. 2-5, Mar 1996.

(b) Kreminc, Kathleen E., Reconciling Accounts the Automated Way, Best's Review – Life-Health Insurance Edition, v90, n9, p82(3), Jan. 1990.

(c) Silverbrook et al., WO 2005111926, November 24, 2005, Method and Apparatus for Security Document Tracking.

4. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Siegfried Chencinski whose telephone number is (571)272-6792. The Examiner can normally be reached Monday through Friday, 9am to 6pm.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Alexander Kalinowski, can be reached on (571) 272-6771.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Any response to this action should be mailed to:

*Commissioner of Patents and Trademarks, Washington D.C. 20231*

or faxed to:

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(571)273-8300 [Official communications; including After Final communications labeled "Box AF"]

(571) 273-6792 [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to the address found on the above USPTO web site in Alexandria, VA.

SEC

July 22, 2008

/Alexander Kalinowski/

Supervisory Patent Examiner, Art Unit 3691